

Appl. No. 09/834,171
Amendment dated May 18, 2004
Reply to Office Action of February 18, 2004

Amendments to the Claims:

This listing of claims will replace all prior versions, and listings, of claims in the application:

Listing of Claims:

1. (previously presented) A system for facilitating electronic securities trading, comprising:

an electronic trading marketplace (ETM) for receiving non-binding indications to trade securities and for facilitating trading of the securities; and

an interfacing module interfacing with an order management system (OMS) database and in communication with the ETM for reading data records in the OMS database reflecting orders for securities and for automatically providing non-binding indications to trade securities derived from the data records in the OMS database reflecting orders for securities to the ETM.

2. (original) The system of claim 1, wherein the ETM is further adapted to send execution information indicating trades of securities executed at the ETM to the interfacing module and wherein the interfacing module is further adapted to create data records in the OMS database responsive to execution information indicating trades of securities sent by the ETM.

3. (original) The system of claim 2, wherein the ETM comprises:

a negotiation module for supporting negotiation and trading of securities by traders, the traders using the OMS.

Appl. No. 09/834,171
Amendment dated May 18, 2004
Reply to Office Action of February 18, 2004

4. (original) The system of claim 3, wherein the negotiation module supports anonymous negotiations for potential trades of securities.
5. (original) The system of claim 1, wherein the ETM comprises:

a trader authentication module for authenticating and authorizing traders to trade in the ETM.
6. (original) The system of claim 1, wherein the ETM comprises:

a transaction history module for recording transactions performed by the ETM.
7. (original) The system of claim 2, wherein the interfacing module comprises:

a data record conversion module for converting the data records reflecting orders for securities into a format utilized by the ETM and for converting the execution information received by the ETM interaction module into data records utilized by the OMS database.
8. (original) The system of claim 1, wherein the interfacing module comprises:

a filtering module for filtering the orders for securities provided to the ETM, wherein filtered orders are not sent to the ETM.
9. (previously presented) An interfacing module for interfacing with a database in an order management system (OMS), the interfacing module comprising:

an OMS database interaction module for reading data records in the OMS database reflecting orders for securities; and

Appl. No. 09/834,171
Amendment dated May 18, 2004
Reply to Office Action of February 18, 2004

an electronic trading marketplace (ETM) communications module for automatically providing non-binding indications to trade securities derived from the data records reflecting orders for securities read from the OMS database by the OMS database interaction module to the ETM.

10. (original) The interfacing module of claim 9, wherein the OMS database interaction module is further adapted to create data records in the OMS database responsive to received execution information indicating trades of securities executed at the ETM, and the ETM communications module is further adapted to receive execution information from the ETM indicating trades of securities executed at the ETM and provide the received execution information to the OMS database interaction module.

11. (original) The interfacing module of claim 10, further comprising:

a data record conversion module for converting the data records reflecting orders for securities read by the OMS database interaction module into a format utilized by the ETM and for converting the execution information received by the ETM communications module into a format utilized by the OMS database.

12. (original) The interfacing module of claim 9, further comprising:

a filtering module for filtering the data records reflecting orders for securities read by the OMS database interaction module, wherein the ETM communications module does not provide order information derived from the filtered data records to the ETM.

Appl. No. 09/834,171
Amendment dated May 18, 2004
Reply to Office Action of February 18, 2004

13. (original) The interfacing module of claim 12, wherein the filtering module filters the data records responsive to one or more factors selected from security type, security name, order type, order quantity, and order price.

14. (original) The interfacing module of claim 9, wherein the OMS database interaction module further comprises:

a module for determining whether the data records in the OMS database reflecting orders for securities are changed;

a module for determining whether the changed data records should be provided to the ETM; and

a module for interfacing with the ETM communication module to provide order information corresponding to the changed data records to the ETM.

15. (original) The interfacing module of claim 14, wherein the module for determining whether the changed data records should be provided to the ETM comprises:

a module for determining whether the data records in the database are changed to reflect a new order for a security; and

a module for determining whether the data records in the database are changed to reflect a modification of an existing order for a security.

Appl. No. 09/834,171
Amendment dated May 18, 2004
Reply to Office Action of February 18, 2004

16. (previously presented) An electronic trading marketplace (ETM) in communication with a remote interfacing module interfacing with an order management system (OMS), the ETM comprising:

a data integration module for receiving and processing data representative of non-binding indications of interest to trade securities, the indications derived from records reflecting orders for securities automatically read from an OMS database in the OMS by the interfacing module;

an ETM database adapted to store the data representative of non-binding indications of interest to trade securities processed by the data integration module; and

a negotiation module for facilitating trading of a security identified by the data representative of non-binding indications of interest to trade securities stored in the ETM database.

17. (original) The ETM of claim 16, wherein the ETM is in communication with a plurality of OMS interfacing modules (OIMs), each OIM interfacing with a different OMS.

18. (original) The ETM of claim 17, wherein each OMS is associated with one or more traders, each trader utilizing an ETM interaction module (EIM) for interacting with the ETM, further comprising:

an indications module for transmitting the data representative of interests to trade securities to selected ones of the EIMs utilized by the traders.

Appl. No. 09/834,171
Amendment dated May 18, 2004
Reply to Office Action of February 18, 2004

19. (original) The ETM of claim 18, wherein the indications module selects the EIMs responsive to filtering criteria selected by the ETM and/or the traders utilizing the EIMs.

20. (original) The ETM of claim 16, wherein at least part of the trading is conducted anonymously.

21. (previously presented) The ETM of claim 16, wherein the data representative of non-binding indications of interest to trade securities is associated with particular traders and further comprising:

a trader authentication module for authenticating and authorizing the particular traders to utilize the ETM.

22. (original) The ETM of claim 16, wherein the data integration module is further adapted to provide data representative of trades of a security conducted through the negotiation module to the interfacing module.

23. (currently amended) A computer-implemented method for providing liquidity in non-binding indications to an electronic trading marketplace, the method comprising:

reading data records in a database of an order management system (OMS), the data records reflecting orders for securities; and

automatically providing non-binding indications to trade securities derived from the data records to the electronic trading marketplace (ETM), ~~the ETM thereby automatically having increased liquidity in the form of the automatically provided indications reflecting the orders for securities.~~

Appl. No. 09/834,171
Amendment dated May 18, 2004
Reply to Office Action of February 18, 2004

24. (original) The method of claim 23, further comprising:

receiving execution information from the ETM indicating orders for securities executed at the ETM; and

automatically creating data records in the OMS database responsive to received execution information indicating orders for securities executed at the ETM.

25. (original) The method of claim 23, further comprising:

converting the data records reflecting orders for securities read from the OMS database into a format utilized by the ETM.

26. (original) The method of claim 24, further comprising:

converting the execution information received from the ETM into a format utilized by the OMS database.

27. (original) The method of claim 23, wherein the providing comprises:

filtering the data records reflecting orders for securities read from the OMS, wherein the filtered data records are not sent to the ETM.

28. (original) The method of claim 27, wherein the filtering is performed responsive to one or more factors selected from security type, security name, order type, order quantity, and order price.

Appl. No. 09/834,171
Amendment dated May 18, 2004
Reply to Office Action of February 18, 2004

29. (original) The method of claim 23, wherein the providing comprises:

determining whether the data records in the database reflecting orders for securities are changed; and

determining whether the changed data records should be provided to the ETM.

30. (original) The method of claim 29, wherein determining whether the changed data records should be provided to the ETM comprises:

determining whether the data records in the database are changed to reflect a new order for a security; and

determining whether the data records in the database are changed to reflect a modification of an existing order for a security.

31. (previously presented) A computer-usable medium having computer-readable code embodied therein for interfacing with a database in an order management system (OMS), the computer-readable code comprising:

an OMS database interaction module for reading data records in the OMS database reflecting orders for securities; and

an electronic trading marketplace (ETM) communications module for automatically providing non-binding indications to trade securities derived from the data records reflecting orders for securities read from the OMS database by the OMS database interaction module to the ETM.

Appl. No. 09/834,171
Amendment dated May 18, 2004
Reply to Office Action of February 18, 2004

32. (previously presented) The computer-usable medium of claim 31, wherein the OMS database interaction module is further adapted for creating data records in the OMS database responsive to received execution information indicating trades of securities executed at the ETM, and the ETM communications module is further adapted for receiving execution information from the ETM indicating trades of securities executed at the ETM, and for providing the received execution information to the OMS database interaction module.

33. (previously presented) The computer-usable medium of claim 32, further comprising:

a data record conversion module for converting the data records reflecting orders for securities read by the OMS database interaction module into a format utilized by the ETM and for converting the execution information received by the ETM communication module into a format utilized by the OMS database.

34. (previously presented) The computer-usable medium of claim 31, further comprising:

a filtering module for filtering the data records reflecting orders for securities read by the OMS database interaction module, wherein the ETM communications module does not provide order information derived from the filtered data records to the ETM.

35. (previously presented) The computer-usable medium of claim 34, wherein the filtering module performs the filtering responsive to one or more factors selected from security type; security name; order type, order quantity, and order price.

Appl. No. 09/834,171
Amendment dated May 18, 2004
Reply to Office Action of February 18, 2004

36. (previously presented) The computer-usable medium of claim 31, wherein the OMS database interaction module further comprises:

a module for determining whether the data records in the database reflecting orders for securities are changed;

a module for determining whether the changed data records should be provided to the ETM; and

a module for causing the ETM communications module to provide order information corresponding to the changed data records to the ETM.

37. (previously presented) The computer-usable medium of claim 36, wherein the module for determining whether the changed data records should be provided to the ETM comprises:

a module for determining whether the data records in the database are changed to reflect a new order for a security; and

a module for determining whether the data records in the database are changed to reflect a modification of an existing order for a security.

38. (currently amended) A computer-implemented method for providing liquidity in non-binding indications to an electronic trading marketplace (ETM), the method comprising:

reading data records in a database of an order management system (OMS), the data records reflecting orders for securities;

Appl. No. 09/834,171
Amendment dated May 18, 2004
Reply to Office Action of February 18, 2004

deriving non-binding indications to trade securities from the data records
reflecting orders for securities; and

automatically providing the non-binding indications to trade securities to the
ETM, ~~the ETM thereby automatically having increased liquidity in the form of the automatically
provided indications reflecting orders for securities.~~

39. (previously presented) The method of claim 38, further comprising:

receiving execution information from the ETM indicating orders for securities
executed at the ETM; and

automatically creating data records in the OMS database responsive to received
execution information indicating orders for securities executed at the ETM.

40. (previously presented) The method of claim 38, further comprising:

converting the data records reflecting orders for securities read from the OMS
database into a format utilized by the ETM.

41. (previously presented) The method of claim 39, further comprising:

converting the execution information received from the ETM into a format
utilized by the OMS database.

Appl. No. 09/834,171
Amendment dated May 18, 2004
Reply to Office Action of February 18, 2004

42. (previously presented) The method of claim 38, wherein the providing comprises:

determining whether the data records in the database reflecting orders for securities are changed; and

determining whether the changed data records should be provided to the ETM.